

Please type a plus sign (+) inside this box →

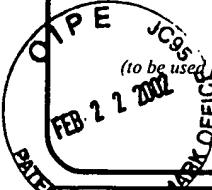
PTO/SB/21 (8-00)

Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office U.S. Department of Commerce

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)



| | |
|------------------------|-------------------------|
| Application Number | 10/008,269 |
| Filing Date | November 8, 2001 |
| First Named Inventor | Sanjay Deshpande et al. |
| Group Art Unit | 2164 |
| Examiner Name | Not yet assigned |
| Attorney Docket Number | 4797-65 |

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ENCLOSURES (check all that apply)

| | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) - ___ Sheets | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Petitions to the Commissioner | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication Group (Appeal Notice, Brief, Reply Brief) |
| <input checked="" type="checkbox"/> Request For Corrected Filing Receipt With A Copy Of the Official Receipt | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Withdrawal of attorney as Attorney or Agent |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <div style="border: 1px solid black; padding: 5px; min-height: 50px; vertical-align: top;"><p><i>Copy of originally filed postcard, certification of mailing, and Patent application transmittal form showing filing date of November 8, 2001 Return Receipt Postcard</i></p></div> |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Small Entity Statement | |
| <input type="checkbox"/> Form PTO-1449 ___ References | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | <input type="checkbox"/> Express Abandonment Request | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |
| <input type="checkbox"/> Petition to Make Special | <input type="checkbox"/> Remarks | |
| <input type="checkbox"/> Statement pertaining to pre-examination search; and | | |
| <input type="checkbox"/> Detailed discussion of the references submitted with the Information Disclosure Statement | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|--|
| Firm or Individual name | Leslie Gladstone Restaino, Reg. No. 38,893 |
| Signature | |
| Date | February 1, 2002 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date

February 1, 2002

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|----------------------|------------------|------|------------------|
| Type or printed name | Marcy H. Mancuso | | |
| Signature | | Date | February 1, 2002 |

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMM

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification
(preferred arrangement as set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 25]
- Oath or Declaration
 - Newly executed (original or copy)
 - Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)
Prior application information: Examiner: _____ of prior application No: _____
Group Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | | | | |
|--|---|--|--------------|---|------------------|
| <input type="checkbox"/> Customer Number or Bar Code Label | | <input type="checkbox"/> Insert Customer No. or Attach bar code label here | | <input type="checkbox"/> Correspondence address below | |
| Name | Leslie Gladstone Restaino, Esq. Brown Raysman Millstein Felder & Steiner LLP 55 Madison Avenue, 4 th Floor | | | | |
| Address | | | | | |
| City | Morristown | | | | |
| Country | USA | | | | |
| Name (Print/Type) | Leslie Gladstone Restaino, Esq. | | | | |
| Signature | <i>Leslie Gladstone Restaino</i> | | | | |
| | | State | NJ | Zip Code | 07960 |
| | | Telephone | 973-285-3242 | Fax | 973-285-3262 |
| | | Registration No. (Attorney/Agent) | | | 38,893 |
| | | Date | | | November 8, 2001 |

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FEET TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 996.00)

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
Deposit Account Number 02-4270

Deposit Account Name Brown Raysman Millstein Felder & Steiner LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. **BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | 740.00 |
| 106 330 | 206 165 | Design filing fee | |
| 107 510 | 207 255 | Plant filing fee | |
| 108 740 | 208 370 | Reissue filing fee | |
| 114 160 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$ 740.00)

2. **EXTRA CLAIM FEES**

| Total Claims | Independent Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------|----------------|----------|
| 32 | -20** = 12 | x 18.00 | = 216.00 | |
| 3 | -3** = 0 | x 84.00 | = 0.00 | |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 84 | 202 42 | Independent claims in excess of 3 |
| 104 280 | 204 140 | Multiple dependent claim, if not paid |
| 109 84 | 209 42 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 216.00)

**or number previously paid, if greater; For Reissues, see above

| Complete if Known | |
|----------------------|-----------------------|
| Application Number | not yet assigned |
| Filing Date | concurrently herewith |
| First Named Inventor | Sanjay Deshpande |
| Examiner Name | |
| Group Art Unit | to be assigned |
| Attorney Docket No. | 4797-65 |

FEE CALCULATION (continued)

| 3. ADDITIONAL FEES | Fee Description | Fee Paid |
|---------------------|---|----------|
| 105 130 | 205 65 Surcharge - late filing fee or oath | |
| 127 50 | 227 25 Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 Non-English specification | |
| 147 2,520 | 147 2,520 For filing a request for ex parte reexamination | |
| 112 920* | 112 920* Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 Extension for reply within first month | |
| 116 400 | 216 200 Extension for reply within second month | |
| 117 920 | 217 460 Extension for reply within third month | |
| 118 1,440 | 218 720 Extension for reply within fourth month | |
| 128 1,960 | 228 980 Extension for reply within fifth month | |
| 119 320 | 219 160 Notice of Appeal | |
| 120 320 | 220 160 Filing a brief in support of an appeal | |
| 121 280 | 221 140 Request for oral hearing | |
| 138 1,510 | 138 1,510 Petition to institute a public use proceeding | |
| 140 110 | 240 55 Petition to revive - unavoidable | |
| 141 1,280 | 241 640 Petition to revive - unintentional | |
| 142 1,280 | 242 640 Utility issue fee (or reissue) | |
| 143 460 | 243 230 Design issue fee | |
| 144 620 | 244 310 Plant issue fee | |
| 122 130 | 122 130 Petitions to the Commissioner | |
| 123 50 | 123 50 Processing fee under 37 CFR 1.17(q) | |
| 126 180 | 126 180 Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 Recording each patent assignment per property (times number of properties) | |
| 146 740 | 246 370 Filing a submission after final rejection (37 CFR § 1.129(a)) | 40.00 |
| 149 740 | 249 370 For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 740 | 279 370 Request for Continued Examination (RCE) | |
| 169 900 | 169 900 Request for expedited examination of a design application | |
| Other fee (specify) | | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Name (Print/Type) Leslie Gladstone Restaino

Signature *Leslie Gladstone Restaino*

Complete (if applicable)

Registration No. (Attorney/Agent) 38,893

Telephone (973) 285-3242

Date November 8, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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| APPLICATION NUMBER | FILING DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-------------|-----------------------|------------------------|
| 10/008,269 | 12/10/2001 | Sanjay Deshpande | 4797-65 |

CONFIRMATION NO. 2616



OC000000007602403

Leslie Gladstone Restanio, Esq.
Brown Raysman Millstein Felder & Steiner LLP
4th Floor
55 Madison Avenue
Morristown, NJ 07960

Date Mailed: 03/07/2002

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

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In response to your request for a corrected Filing Receipt, the Office can not comply with your request because:

- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- The "date in" on the Express Mail label is the date given on the Filing Receipt.
- The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC
Commissioner for Patents
Washington, DC 20231

S. Lemance

Customer Service Center
Initial Patent Examination Division
(703) 308-1202



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
PATENT PRACTITIONER
In re Application No.: Sanjay Deshpande et al.
Serial No. 10/008,269
Filed: November 8, 2001
For: System and Method for Enabling Content Providers in a Financial Services Organization to
Self-Publish Content
Assistant Commissioner for Patents
Washington, D.C. 20231

PATENT

Docket No.: 4797-65
Group No.: 2164
Examiner: Not yet assigned

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1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data, which is:

incorrectly entered

omitted. and/or

1. Applicant's name
2. Applicant's address
3. Title
4. Filing Date
5. Serial Number
6. Other:

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Correct Data

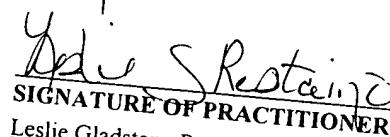
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Reg. No.: 38,893

Tel. No.: (973) 285-3242
Customer No.:


SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino
(type or print name of practitioner)

Brown Raysman Millstein Felder & Steiner LLP

55 Madison Avenue

Morristown, New Jersey 07960

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)
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Date: February 1, 2002


Signature
Marcy Mancuso
(type or print name of person certifying)



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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|----------------|----------|------------|------------|
| 10/008,269 | 12/10/2001 | 2164 | 956 | 4797-65 | 25 | 32 | 3 |

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OC000000007312253

Leslie Gladstone Restanio, Esq.
 Brown Raysman Millstein Felder & Steiner LLP
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 55 Madison Avenue
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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Sanjay Deshpande, Emerson, NJ;
 Meaghan C. Williams, Chatham, NJ;
 Kitty C. Chen, Manhasset, NY;
 Ajoy C. Banerjee, New York, NY;

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Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/15/2002

Projected Publication Date: 06/12/2003

Non-Publication Request: No

Early Publication Request: No

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Title

System and method for enabling content providers in a financial services organization to self-publish content

Preliminary Class



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4797-65

LGR

November 8, 2001

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In re Application of: Sanjay Deshpande et al.

Serial No.: Not Yet Assigned

Filed: Concurrently Herewith

Title: SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS
IN A FINANCIAL SERVICES ORGANIZATION TO SELF-PUBLISH
CONTENT

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By Express Mail No. EK051318362US

1. Certification of Express Mailing (1 page)
2. Utility Patent Application Transmittal Letter (1 page)
3. Fee Transmittal Sheet (Original and duplicate for fee processing)
4. Specification (30 pages)
5. Drawings (25 sheets)
6. Declaration For Patent Application (4 pages)
7. Recordation Form Cover Sheet and 4 Assignments (5 pages)
8. Return receipt postcard

10/008269
JC821 U.S. PTO
12/10/01

DEC 17 2001

nm
docketed ✓

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Attorney Docket No.:
For:

Sanjay Deshpande et al.

4797-65

**System and Method for Enabling Content
Providers in a Financial Services Organization
To Self-publish Content**



55 Madison Avenue
Morristown, N.J. 07960
November 8, 2001

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

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CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EK051318362US, together with the accompanying papers directed to the above identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

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